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J1040 U.S. PTO  
09/803496Please type a plus sign (+) inside this box → ☒

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032  
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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	P2300
First Inventor	Bert L Fransis
Title	An Improved Wideband Local Oscillator Architecture
Express Mail Label No.	EL573445959US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 25]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
5. Oath or Declaration [Total Pages 2]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
17. ☒ Other: Check for fees

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 24739  or ☐ Correspondence address below

Name

24739

PATENT TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Donald R Boys

Registration No. (Attorney/Agent)

35,074

Signature

Date

03/08/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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09/803496  
03/08/01

1c962 U.S. PTO  
03/08/01

<b>FEE TRANSMITTAL</b> <b>for FY 2001</b>  <i>Patent fees are subject to annual revision.</i>		<b>Complete if Known</b>		
		Application Number	NA	
		Filing Date	03/08/2001	
		First Named Inventor	Bert L Fransis	
		Examiner Name	NA	
		Group Art Unit	NA	
TOTAL AMOUNT OF PAYMENT (\$)		364.00	Attorney Docket No.	P2300

<b>METHOD OF PAYMENT</b>		<b>FEE CALCULATION (continued)</b>	
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account Number: 50-0534 Deposit Account Name: Mark Boys <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		<b>3. ADDITIONAL FEES</b> Large Entity Small Entity Fee Code (\$)	
2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other		Fee Description Fee Paid	
<b>FEE CALCULATION</b>			
<b>1. BASIC FILING FEE</b> Large Entity Small Entity Fee Code (\$)			
Fee Description Fee Paid			
101 710 201 355 Utility filing fee 355.00		105 130 205 65 Surcharge - late filing fee or oath	
106 320 206 160 Design filing fee		127 50 227 25 Surcharge - late provisional filing fee or cover sheet	
107 490 207 245 Plant filing fee		139 130 139 130 Non-English specification	
108 710 208 355 Reissue filing fee		147 2,520 147 2,520 For filing a request for <i>ex parte</i> reexamination	
114 150 214 75 Provisional filing fee		112 920* 112 920* Requesting publication of SIR prior to Examiner action	
SUBTOTAL (1) (\$) 355.00		113 1,840* 113 1,840* Requesting publication of SIR after Examiner action	
<b>2. EXTRA CLAIM FEES</b>		115 110 215 55 Extension for reply within first month	
Total Claims 21 - 20** = 1 x Fee from below 9 = 9.00		116 390 216 195 Extension for reply within second month	
Independent Claims 3 - 3** = 0 x Fee Paid 40 = 0.00		117 890 217 445 Extension for reply within third month	
Multiple Dependent Claims = 0.00		118 1,390 218 695 Extension for reply within fourth month	
Large Entity Small Entity Fee Code (\$)		128 1,890 228 945 Extension for reply within fifth month	
Fee Description Fee Paid		119 310 219 155 Notice of Appeal	
103 18 203 9 Claims in excess of 20		120 310 220 155 Filing a brief in support of an appeal	
102 80 202 40 Independent claims in excess of 3		121 270 221 135 Request for oral hearing	
104 270 204 135 Multiple dependent claim, if not paid		138 1,510 138 1,510 Petition to institute a public use proceeding	
109 80 209 40 ** Reissue independent claims over original patent		140 110 240 55 Petition to revive - unavoidable	
110 18 210 9 ** Reissue claims in excess of 20 and over original patent		141 1,240 241 620 Petition to revive - unintentional	
SUBTOTAL (2) (\$) 9.00		142 1,240 242 620 Utility issue fee (or reissue)	
**or number previously paid, if greater; For Reissues, see above		143 440 243 220 Design issue fee	
		144 600 244 300 Plant issue fee	
		122 130 122 130 Petitions to the Commissioner	
		123 50 123 50 Petitions related to provisional applications	
		126 240 126 240 Submission of Information Disclosure Stmt	
		581 40 581 40 Recording each patent assignment per property (times number of properties)	
		146 710 246 355 Filing a submission after final rejection (37 CFR § 1.129(a))	
		149 710 249 355 For each additional invention to be examined (37 CFR § 1.129(b))	
		179 710 279 355 Request for Continued Examination (RCE)	
		169 900 169 900 Request for expedited examination of a design application	
		Other fee (specify) _____	
		Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$) 0.00	

<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Name (Print/Type)	Donald R. Boys	Registration No. (Attorney/Agent)	35074
Signature		Telephone	(831) 726-1457
		Date	03/08/2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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## Certificate of Express Mailing

"Express Mail" Mailing Label Number: EL573445959US

Date of Deposit: 03/08/2001

Ref: Case Docket No.: P2300

First Named Inventor: Bert L Fransis

Serial Number: NA

Filing Date: 03/08/2001

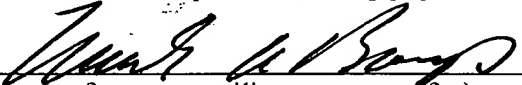
Title of Case: An Improved Wideband Local Oscillator Architecture

I hereby certify that the attached papers are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and addressed to the Commissioner of Patents and Trademarks, Washington D.C. 20231

1. Utility patent application transmittal.
2. 25 sheets of specification.
3. 2 sheets of drawings.
4. Fee transmittal.
5. Duplicate fee transmittal.
6. Declaration and Power of Attorney.
7. Check for fees in the amount of \$364.00.
8. Certificate of express mailing.
9. Postcard listing contents.

Mark A. Boys

(Typed or printed name of person mailing paper or fee)

  
(Signature of person mailing papers or fee)